Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission:	4/10/2009
2. Agency:	Department of State
3. Bureau:	Rm/Dcfo/Gfms Global Financial Management System
4. Name of this Capital Asset:	Exhibit 300 - Joint Financial Management System (JFMS)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	014-00-01-01-01-1126-00
6. What kind of investment will this be in FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 should not select O&M. These investments should indicate their current status.)	Mixed Life Cycle

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Joint Financial Management System (JFMS) investment is a cooperative effort by the Department of State and the U.S Agency for International Development (USAID) to improve service and save money through collaboration on financial systems and functions. At issue was the pursuit of separate implementations of the same COTS financial system software when a common financial management system would improve efficiency based on joint integration of systems, strategic planning and joint operations.

JFMS has created a common financial platform for co-hosting State and USAID financial systems to manage all domestic and overseas activities. The JFMS investment combines the former State Department Global Financial Management System (GFMS) and USAID Phoenix investments onto a common financial management platform located at the State Department Financial Services Center in Charleston, SC. along with a common COOP facility at the State Department's Beltsville facility.

JFMS is now fully operational for USAID and State. USAID is in production on the new system both domestically and at 51 missions overseas. State is in production at 168 posts overseas as well as all domestic operations.

This OMB 300 covers the costs associated with the operations of JFMS for USAID and State as well as other serviced entities such as the International Boundary and Water Commission (IBWC).

This is a natural extension of the servicing role that DoS already plays through the ICASS program where DoS provides financial management services to over 45 agencies with an overseas presence in 168 countries.

As a result of this collaborative effort, the following benefits have been realized:

* Joint performance testing
* Joint 23x6 computer operations
* Co-licensing and co-hosting of application and system software
* Co-hosting of COOP facilities

The bottom line results have achieved operational savings which would not have been realized had State and USAID continued on separate efforts.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	7/14/2008
10. Did the Project Manager review this Exhibit?	Yes
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project?	Yes
a. Will this investment include electronic assets (including computers)?	Yes
b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable	No

to non-IT assets only)

1. If "yes," is an ESPC or UESC being used to help fund this investment?	
2. If "yes," will this investment meet sustainable design principles?	
3. If "yes," is it designed to be 30% more energy efficient than relevant code?	
13. Does this investment directly support one of the PMA initiatives?	Yes
If "yes," check all that apply:	Expanded E-Government Financial Performance
a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)	JFMS directly supports two of the five Government-wide initiatives in the PMA -- Financial Performance and Expanding Electronic Government. At its very core objective, JFMS has many of the key objectives stated in the PMA, especially using an IT investment in a joint, multi-agency system to "break down obsolete bureaucratic divisions" and (eliminate) "wasteful and redundant investments". The JFMS collaborative effort between DOS/USAID has achieved operational savings.
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)	No
a. If "yes," does this investment address a weakness found during a PART review?	No
b. If "yes," what is the name of the PARTed program?	
c. If "yes," what rating did the PART receive?	
15. Is this investment for information technology?	Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance)	Level 3
17. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance)	(1) Project manager has been validated as qualified for this investment
18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2008 agency high risk report (per OMB Memorandum M-05-23)	Yes
19. Is this a financial management system?	Yes
a. If "yes," does this investment address a FFMIA compliance area?	No
1. If "yes," which compliance area:	
2. If "no," what does it address?	Co-hosting of USAID, State Department and IBWC financial management systems onto a common platform at the State Department's Charleston Financial Center and the Beltsville COOP facility. Cost savings generated by sharing of services contracts, licensing and operations staff, plus benefits of consolidated performance testing, release management, and joint technology upgrades. Enterprise licensing covers both agencies for all overseas financial operations.

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

Joint Financial Management System (JFMS)
Regional Financial Management System (RFMS)
Global Financial Management System (GFMS)

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	N/A
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond the next President's Budget.

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2005	Strengthening Consular and Management Capabilities	Customer Results	Customer Benefit	Customer Training	Number of trained operations staff on common platform.	5 Trained staff	Train 10 joint operations staff.	10 State and USAID operation staff have been cross trained on the common technical platform for migration of USAID to common technical environment. This training supports achieving benefits in Section 1.B.8 &standardized policies and procedures.
2005	Strengthening Consular and Management Capabilities	Mission and Business Results	Internal Risk Management and Mitigation	Continuity Of Operations	% reduction in the number of financial systems COOP plans	2 COOP plans	50% reduction to 1 consolidated COOP plan	50% reduction achieved. Established common COOP operation located at State Department BIMC facility.
2005	Strengthening Consular and Management Capabilities	Processes and Activities	Management and Innovation	Compliance	% reduction in data warehouse licenses	2 Data Warehouse software licenses.	50% reduction	50% reduction achieved. Procurement completed for joint Data warehouse software. Prototype developed and reviewed with bureaus. The new warehouse will support the benefits described in Section 1.B.8 &better reporting of financial information
2005	Strengthening Consular and	Technology	Reliability and Availability	Availability	Double system availability time	12 x 5 joint availability	23 x 6 joint availability	Availability doubled. A 23 x

Performance Information Table								
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Category**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
	Management Capabilities				from 11 hours per day to 23 hours per day.			6 operation was established in Charleston. This increased availability of the financial system and benefits worldwide users as described in Section 1.B.8 giving them greater access to data.
2006	Strengthening Consular and Management Capabilities	Customer Results	Service Accessibility	Access	Number of USAID Missions connected to JFMS	0 Overseas Missions	51 overseas Missions	51 Overseas USAID Missions can now connect to JFMS in Charleston
2006	Strengthening Consular and Management Capabilities	Customer Results	Service Coverage	Service Efficiency	System Availability	95% system uptime during published operating hours	98% during published operating hours(23 x 6 1/2 hours per day)	99.4% system uptime23 x 6 1/2 hours per day
2006	Strengthening Consular and Management Capabilities	Mission and Business Results	Financial Management	Accounting	% reduction in financial production computer operations from two sites to one.	2 financial system computer operations in USAID Washington and Charleston, SC	50% reduction to 1 financial systems computer operation located in Charleston, SC	50% reduction achieved. Successfully reduced financial system operations to one operation in Charleston, SC.
2006	Strengthening Consular and Management Capabilities	Processes and Activities	Productivity	Efficiency	% reduction in financial system COOP operations from two sites to one.	2 COOP sites	50% reduction to 1 COOP site located at BIMC	50% reduction achieved. Consolidated USAID/State Department financial system COOP operation at one site in BIMC.
2006	Strengthening Consular and Management Capabilities	Technology	Technology Costs	Licensing Costs	Licensing Costs - Consolidate licensing, use enterprise licenses agreements where practical. Achieve cost avoidance of separate USAID overseas licenses. Potential $2-3M in cost avoidance.	$0 License Cost Avoidance	$2-3M License Cost Avoidance	$2.7M License fee avoided. USAID overseas users now under State Department Enterprise Licensing agreement. USAID no longer pays vendor for these license costs.
2007	Strengthening Consular and Management Capabilities	Customer Results	Customer Benefit	Customer Training	Number of domestic State users trained on new financial system	0 trained	Train 500 + domestic end users.	Domestic user training completed. Over 800 users trained in GFMS and the new Data Warehouse.
2007	Strengthening Consular and Management Capabilities	Customer Results	Timeliness and Responsiveness	Response Time	Increase performance of data warehouse load cycle by 50%.	4 hours	2 hours	Data Warehouse ETL load process over 300% faster than previous technology. Nightly load takes less than 2 hours.
2007	Strengthening Consular and Management Capabilities	Mission and Business Results	Financial Management	Cost Accounting / Performance Measurement	Number of Bureaus using Managerial Cost Accounting module.	0 Bureaus using Managerial Cost Accounting module	2-3 Bureaus using Managerial Cost Accounting Module	Managerial Cost Accounting module in final testing. Expect implementation next quarter.
2007	Strengthening Consular and Management Capabilities	Processes and Activities	Financial (Processes and Activities)	Costs	Number of COTS packages being used by State overseas and domestic	2 COTS software packages	1 COTS software package	1 COTS package now being used for Department overseas and domestic

Performance Information Table								
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Category**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
					financial systems.			activity.
2007	Strengthening Consular and Management Capabilities	Processes and Activities	Quality	Errors	Number of Rejects between Overseas and Domestic Databases	5%	2.5%	Q4 / FY2007: Document Rejection Rate 1.88%
2007	Strengthening Consular and Management Capabilities	Technology	Information and Data	Data Storage	Timeliness of updates from production database to secondary SAN	24 hour update cycle	Daily update to secondary SAN.	Q4 / FY2007: One update per day. Secondary SAN installed and COOP site updated daily.
2008	Strengthening Consular and Management Capabilities	Customer Results	Customer Benefit	Customer Satisfaction	User Group Survey Conducted for Overseas Users	No (0) Overseas User Survey	A (1) User Survey conducted for overseas users.	Q1 / FY2008: 1 Overseas User Survey conducted in April 2007.
2008	Strengthening Consular and Management Capabilities	Mission and Business Results	Financial Management	Reporting and Information	Data Warehouse Coverage	0 new modules implemented; DW contains Financial Data Only	Incorporate Access to 2 new modules: (1) Integrated Acquisition and (2) Managerial Cost data	Q4 / FY2008: completed 2 of 2 planned new modules (Managerial Cost Accounting and Acquisitions module)
2008	Strengthening Consular and Management Capabilities	Processes and Activities	Quality	Errors	Percentage of initial transaction rejects between overseas and domestic databases	10%	5%	Q4 / FY2008 Document Rejection Rate 0.63%
2008	Strengthening Consular and Management Capabilities	Technology	Technology Costs	Operations and Maintenance Costs	Service and Maintenance Fees for legacy Domestic COTS software	$ 300,000/year	Reduce to $0	Q4 / FY2008: Achieved $0 target. Last maintenance payment for CFMS paid June 2008.
2009	Strengthening Consular and Management Capabilities	Customer Results	Customer Benefit	Customer Satisfaction	User Group Survey Conducted for Domestic Users	No domestic User Survey	User Survey conducted for Domestic Users	
2009	Strengthening Consular and Management Capabilities	Mission and Business Results	Financial Management	Reporting and Information	Number of Standard Queries	21 Standard Financial Queries	25 Standard Financial Queries	
2009	Strengthening Consular and Management Capabilities	Processes and Activities	Productivity	Efficiency	Number of Initial Transaction Rejects between Overseas and Domestic databases	5%	2.5%	
2009	Strengthening Consular and Management Capabilities	Technology	Reliability and Availability	Availability	System Uptime, as measured in percent of planned available hrs	97%	98%	

Section E: Security and Privacy (IT Capital Assets only)

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	**(b) Is this a new system? (Y/N)**	**(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)**	**(d) Internet Link or Explanation**	**(e) Is a System of Records Notice (SORN) required for this system? (Y/N)**	**(f) Internet Link or Explanation**
Global Financial Management System (GFMS)	No	Yes	http://www.state.gov/documents/organization/101917.pdf	Yes	http://www.state.gov/documents/organization/107157.pdf
Joint Financial Management System (JFMS) - ITAB #872	No	No	This system does not collect PII	No	This system does not collect PII
Regional Financial Management System (RFMS)	No	No	This system does not collect PII	No	This system does not collect PII
Details for Text Options: Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation					

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation

why the PIA has not been publicly posted or why the PIA has not been conducted.

Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.

Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

Section F: Enterprise Architecture (EA) (IT Capital Assets only)

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?	Yes
a. If "no," please explain why?	
2. Is this investment included in the agency's EA Transition Strategy?	Yes
a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.	Joint Financial Management System (JFMS)
b. If "no," please explain why?	

4. Service Component Reference Model (SRM) Table:
Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Data Warehouse	Support the archiving and storage of large volumes of data.	Back Office Services	Data Management	Data Warehouse			No Reuse	
Activity Based Management	Support a defined, specific set of Finance-related tasks for a given objective	Back Office Services	Financial Management	Activity-Based Management			No Reuse	
Auditing	Support the examination and verification of records for accuracy	Back Office Services	Financial Management	Auditing			No Reuse	
Billing and Accounting	Support the charging, collection and repsorting of an organization's accounts	Back Office Services	Financial Management	Billing and Accounting			No Reuse	
Credit/Charge	Support the use of credit cards or electronic funds transfers for payment and collection of products or services	Back Office Services	Financial Management	Credit / Charge			No Reuse	
Currency Translation	Support the calculations and difference between multiple mediums of exchange	Back Office Services	Financial Management	Currency Translation			No Reuse	
Debt Collection	Support the process of accounts receivable	Back Office Services	Financial Management	Debt Collection			No Reuse	
Expense	Support the	Back Office	Financial	Expense			No Reuse	

4. Service Component Reference Model (SRM) Table:
Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Management	management and reimbursement of costs paid by employees or an organization	Services	Management	Management				
Internal Controls	Support the methods and procedures used by the organization to safeguard its assets, produce accurate accounting data and reports, contribute to efficient operations, and encourage staff to adhere to management policies and mission requirements	Back Office Services	Financial Management	Internal Controls			No Reuse	
Payment/Settlement	Support the process of accounts payable	Back Office Services	Financial Management	Payment / Settlement			No Reuse	
Issue Tracking	Receive and track user reported issues in using financial application including help desk calls.	Support Services	Systems Management	Issue Tracking			No Reuse	

a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) Table:
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Credit / Charge	Component Framework	Data Interchange	Data Exchange	
Debt Collection	Component Framework	Data Interchange	Data Exchange	
Expense Management	Component Framework	Data Interchange	Data Exchange	
Data Warehouse	Component Framework	Data Management	Reporting and Analysis	
Billing and Accounting	Service Interface and Integration	Integration	Middleware	
Auditing	Service Platform and Infrastructure	Database / Storage	Database	
Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	
Data Warehouse	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	
Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	

5. Technical Reference Model (TRM) Table:
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Data Warehouse	Service Platform and Infrastructure	Software Engineering	Test Management	
Billing and Accounting	Service Platform and Infrastructure	Software Engineering	Test Management	
Billing and Accounting	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Billing and Accounting	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Currency Translation	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Internal Controls	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Payment / Settlement	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Activity-Based Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Issue Tracking	Service Platform and Infrastructure	Support Platforms	Dependent Platform	

a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

6. Will the application leverage existing components and/or applications across the Government (i.e., USA.gov, Pay.Gov, etc)?	Yes

Exhibit 300: Part II: Planning, Acquisition and Performance Information

Section B: Risk Management (All Capital Assets)

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan?	Yes
a. If "yes," what is the date of the plan?	7/23/2008
b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?	No